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JC962 U.S. PTO

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Attorney Docket P3030R1C9  
PATENT

JC978 U.S. PTO  
10/036150  
12/26/01

EL: 889 330 855 US Express Mail Number  
December 26, 2001: Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231

**NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)**

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

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Zemin Zhang, Foster City, CA

Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS  
ENCODING THE SAME

**1. Type of Application**

- ☐ This application is for an original, non-provisional application.
- ☐ This is a non-provisional application claiming priority to provisional application no. \_\_, filed \_\_, the entire disclosure of which is hereby incorporated by reference.
- ☒ This is a continuation application claiming priority under 35 USC §120 to US serial number 09/931836 filed 8/16/01 which claims priority under 35 USC §120 to U.S. serial numbers: 09/311832 Filed 5/14/99; 09/380142 Filed 8/25/99, now abandoned; 09/644848 Filed 8/22/00; 09/747259 Filed 12/20/00; 09/816744 Filed 3/22/01; 09/854208 Filed 5/10/01; 09/854280 Filed 5/10/01; 09/874503 Filed 6/5/01; 09/869599 Filed 6/29/01; 09/908,827 Filed 7/18/2001; and which claims priority under 35 U.S.C. §120 to PCT international application numbers: PCT/US99/10733 Filed 5/14/99; PCT/US99/28551 Filed 12/2/99; PCT/US99/30720 Filed 12/22/99;

**10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)**  
[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]

\_\_\_\_\_ A petition, fee and/or response has been filed to extend the term in the pending prior application until  
\_\_\_\_\_ A copy of the petition for extension of time in the **prior** application is attached.

**11. Correspondence Address:**

X Address all future communications to:

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Registration No. 33,055 - CUSTOMER NO. 30,313  
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Respectfully submitted,  
GENENTECH, INC.

Date: December 26, 2001

By: Elizabeth M. Barnes  
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09157

PATENT TRADEMARK OFFICE

PCT/US00/05601 Filed 3/1/00; PCT/US00/05841 Filed 3/2/00; PCT/US00/14042 Filed 5/22/00; PCT/US00/15264 Filed 6/2/00; PCT/US00/23522 Filed 8/23/00; PCT/US00/23328 Filed 8/24/00; PCT/US00/32678 Filed 12/1/00; PCT/US00/34956 Filed 12/20/00; PCT/US01/06520 Filed 2/28/01; PCT/US01/17800 Filed 6/1/01; PCT/US01/19692 Filed 6/20/01; PCT/US01/21066 Filed 6/29/01; PCT/US01/21735 Filed 7/9/01; and which claims priority under 35 USC § 119 to US provisional application numbers: 60/085579 Filed 5/15/98; 60/112514 Filed 12/15/98; 60/113300 Filed 12/22/98; 60/113430 Filed 12/23/98; 60/113605 Filed 12/23/98; 60/113621 Filed 12/23/98; 60/114140 Filed 12/23/98; 60/115552 Filed 1/12/99; 60/116843 Filed 1/22/99; 60/125774 Filed 3/23/99; 60/125778 Filed 3/23/99; 60/125826 Filed 3/24/99; 60/127035 Filed 3/31/99; 60/127706 Filed 4/5/99; 60/129122 Filed 4/13/99; 60/130359 Filed 4/21/99; 60/131270 Filed 4/27/99; 60/131272 Filed 4/27/99; 60/131291 Filed 4/27/99; 60/132371 Filed 5/4/99; 60/132379 Filed 5/4/99; 60/132383 Filed 5/4/99; 60/135750 Filed 5/25/99; 60/138166 Filed 6/8/99; 60/144791 Filed 7/20/99; 60/146970 Filed 8/3/99; 60/162506 Filed 10/29/99; the entire disclosures of which are hereby incorporated by reference.--

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional )**

170 pages of specification  
4 pages of claims  
1 page(s) of abstract  
46 sheet(s) of drawings  
☒ formal ☐ informal

3. **Declaration or Oath**

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)  
 \_\_\_ An executed declaration of the inventor(s) ☐ is enclosed ☐ will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)  
X A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

(for Cont./Div. where inventor(s) being deleted)  
 \_\_\_ A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. **Assignment**

(for new and CIP applications)  
 \_\_\_ An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with attached Recordation Form Cover Sheet ☐ will follow.

(for cont./div.)  
X The prior application is assigned of record to Genentech, Inc.

**5. Amendments (for continuation and divisional applications)**

\_\_\_\_\_ Cancel in this application original claims \_\_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

X A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

**6. Fee Calculation (37 CFR 1.16)**

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$710.00
Total Claims	20	- 20 =	0	X \$18.00	\$0.00
Independent Claims	3	- 3 =	0	X \$80.00	\$0.00
_____ Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$710.00

**7. Method of Payment of Fees**

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$710.00. **A duplicate copy of this transmittal is enclosed.**

**8. Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

**9. Additional Papers Enclosed**

☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations

☒ Submission of electronic and paper copy of Sequence Listing. I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

☒ Other: Post card.